12 Steps to Creating and Implementing a Records Retention Schedule

Jim Mack, CRM

MN GRIN

January 17, 2007
Why is this important?

- Policies
  - Regulatory compliance / best practice
- Procedures
  - Preservation & disposal
- Productivity
  - Speed & efficiency
- Processes
  - Workflow (business process management)
THE BIG PICTURE

What do we have?
What are they worth?
What do we do with them?
12 Steps to Retention Scheduling

1. Define “record”
2. Choose victim
3. Agree on scope
4. Conduct inventory
5. Analyze results
6. Research retention

7. Negotiate time
8. Write schedule
9. Gain approval
10. Provide training
11. Audit compliance
12. Revise schedule
1. Define “Record”

Recorded information, regardless of medium or characteristics, made or received by an organization that is evidence of its operations, and has value requiring its retention for a specific period of time.

*Glossary of Records and Information Management Terms*
ARMA International, Prairie Village, KS, 2000
1. Define “Record”

138.17 Government records administration.
Subdivision 1. Destruction, preservation, reproduction of records; prima facie evidence.
(b) For the purposes of this chapter:
(1) The term “government records” means state and local records, including all cards, correspondence, discs, maps, memoranda, microfilms, papers, photographs, recordings, reports, tapes, writings, optical disks, and other data, information, or documentary material, regardless of physical form or characteristics, storage media or conditions of use, made or received by an officer or agency of the state and an officer or agency of a county, city, town, school district, municipal subdivision or corporation or other public authority or political entity within the state pursuant to state law or in connection with the transaction of public business by an officer or agency.

(2) the term “state record” means a record of a department, office, commission, commissioner, board or any other agency, however styled or designated of the executive branch of state government; a record of the state legislature; a record of any court, whether of statewide or local jurisdiction; and any other record designated or treated as a state record under state law.

(4) the term “records” excludes data and information that does not become part of an official transaction, library and museum material made or acquired and kept solely for reference…
1. Define “Record”

- Recorded information
- Evidence of a government transaction
- Valuable to the organization...
- ...for a specified period of time
- Not dependent on storage medium
1. Define “Record”

Proof that we have done what we are supposed to be doing.

Mack, 2006
2. Choose Your Victim

...carefully

Are they ready?
Cooperative?
Supported?
Resources available?
Is value added?
3. Agree on Scope
4. Conduct the Inventory
Definition of “Records Series”

Group of related records filed and used together as a unit for retention purposes
Definition of “Records Series”

Data set:

A separate, discrete body of computer data that is logically related, serves a common purpose or function, and thus can be considered as a separate unit for analysis.
Types of Records Inventories

- **Departmental**
  - Traditional (military)
  - Disrupted by reorganizations

- **Functional**
  - Strategic (use and purpose oriented)
  - Ownership is diffuse

- **Process-Focused**

  *Tina Torres, CRM, PMP
  “Creating a Process-Focused Retention Schedule”
  *The Information Management Journal, September/October 2006*
Process-Based Scheduling

- Fewer records series
- End users able to classify accurately
- Based on the core processes
- Work flow is integrated into schedule
- Requires in-depth understanding of the agency and output documentation
- Retention periods may be longer
Records Inventory Methods

- **Physical** - we do the heavy lifting
- **Survey** – SMEs answer our questions
- **Interview** – we meet the key players
- **Hybrid** – whatever works…
  
  …in our agency and the organizational unit, function, or process under study
Questions to Ask

- Who?
- What?
- Where?
- When?
- How?
Questions to ask – **Who?**

- Who created or received the record?
- Who uses it in their job?
- Who controls the content?
- Who makes sure it is accessible?
- Who decides how long to keep it?
- Who can access the record?
Questions to ask – **What?**

- What is the business need for collecting the data?
- What would happen if we didn’t have access to the record?
- What value does the record have to the agency?
Questions to ask – Where?

- Where does the data come from?
- Where is it stored?
  - physical location
  - digital address
- Where is the duplicate copy of a vital record kept?
- Where does the record go when we are done with it?
Questions to ask – *When*?

- When did we start collecting them?
- When is it declared a record?
- When does the “retention clock” start ticking?
- When does it become inactive?
- When does it become obsolete?
Questions to ask - How?

- How many do we have?
- How do we protect the record from unintended destruction? (backup)
- How is the data in the record protected from unauthorized access?
- How is the record preserved for the duration of its retention period? (media)
What’s on the Inventory Form?

- Title
- Owner / Steward
- Purpose
- Description
- Citations
- Retention requirements
  - Trigger event
  - Location
- Media
- Backup
- Workflow
- Quantity / Accumulation rate
- Data Practices / Access restrictions
- System requirements
Schedule eRecords Separately?

Yes – Clarifies procedures

No – A record is a record
What’s on the Inventory Form?

- **Title**
- **Owner / Steward**
- **Purpose**
- **Description**
- **Citations**
- **Retention requirements**
  - Trigger event
  - Location
- **Media**
- **Backup**
- **Workflow**
- **Quantity / Accumulation rate**
- **Sensitivity / Access restrictions**
- **System requirements**
## Inventory Form, Page 1

<table>
<thead>
<tr>
<th>New or Revision</th>
<th>General Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Owner</strong></td>
<td>Business Continuity Requirements</td>
</tr>
<tr>
<td>Data Practices classification</td>
<td>Who did it / Date</td>
</tr>
</tbody>
</table>
Records Lifecycle Management

![Graph showing activity over time with a declaration as a trigger]

Activity

Declaration ("trigger")

Time

January 17, 2007
### Inventory Form, Page 2

<table>
<thead>
<tr>
<th>CONTENT</th>
<th>INPUT CAPTURE</th>
<th>PROCESS USE STORE</th>
<th>OUTPUT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Source documents</td>
<td>Workflow Filing Indices</td>
<td>Reports Delivery method</td>
<td></td>
</tr>
<tr>
<td>RETENTION</td>
<td>Total Trigger event Records center</td>
<td>Total Trigger event Records center</td>
<td>Total Trigger event Records center</td>
</tr>
<tr>
<td>DISPOSAL</td>
<td>Recycle Secure</td>
<td>Recycle Secure</td>
<td>Recycle Secure</td>
</tr>
</tbody>
</table>

January 17, 2007
RetentionPolicy Basics
Record Series Inventory Form

<table>
<thead>
<tr>
<th>Date</th>
<th>Phone</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Office</th>
<th>Division</th>
<th>Branch</th>
<th>Room</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Series Title</th>
<th>Location:</th>
<th>Purpose (Legal Requirement and/or reason series was created)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Work Station</td>
<td>File Station</td>
</tr>
<tr>
<td></td>
<td>Both</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Series Description (Refer to instructions on back - the description must be comprehensive)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

**Title**

**Description**

This series contains the following kinds of documents (Check all that apply):

- Technical Reference
- Program Management
- Contract Deliverables
- Original Signed Documents*
- Office Administrative
- Program Development
- Contract Information*
- Personal Papers
- Grants & Support Agents*
- Training (given) Materials
- Regulars*
- Policies/Procedures/Directives
- Interagency Comm
- Legal*
- Investigation*

Are these convenience copies for your reference only?

- Yes
- No

<table>
<thead>
<tr>
<th>Estimated volume</th>
<th>Current</th>
<th>Annual</th>
<th>Date Range</th>
<th>Start</th>
<th>End</th>
</tr>
</thead>
<tbody>
<tr>
<td>(in Linear Inches)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

How long is this material needed for administrative use?

- [ ] For legal reasons (if known)
### www.epa.gov/records/tools

#### AREA BELOW TO BE COMPLETED JOINTLY BY EMPLOYEE & PROJECT TEAM
CHECK ALL THAT APPLY

<table>
<thead>
<tr>
<th>FILE INTEGRITY</th>
<th>FINDING AIDS</th>
<th>FILE CONTROLS</th>
<th>DUPLICATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ File breaks</td>
<td>□ None</td>
<td>Access □ Open □ Closed</td>
<td>□ Original</td>
</tr>
<tr>
<td>□ Missing documents</td>
<td>□ Shelf list</td>
<td>Locks □ Yes □ No</td>
<td>□ Copy □ Signed Copy</td>
</tr>
<tr>
<td>□ Related files elsewhere</td>
<td>□ File plan</td>
<td>Staff □ Yes □ No</td>
<td>□ Official</td>
</tr>
<tr>
<td></td>
<td>□ Other</td>
<td>Trained □ Yes □ No</td>
<td>□ Other copy locations:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Written □ Yes □ No</td>
<td>□ in Dept □ in OARM</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Policy/Procedures</td>
<td>□ in EPA □ out of EPA</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>MEDIUM</th>
<th>ARRANGEMENTS</th>
<th>LEGAL STATUS</th>
<th>STORAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ Paper □ Ltr □ Lgl</td>
<td>□ Subject</td>
<td>□ Official</td>
<td>□ Lateral</td>
</tr>
<tr>
<td>□ Microform</td>
<td>□ Chron</td>
<td>□ Supporting files</td>
<td>□ Vertical</td>
</tr>
<tr>
<td>□ On-line</td>
<td>□ Alpha/numeric</td>
<td>□ Working papers</td>
<td>□ High density</td>
</tr>
<tr>
<td>□ Diskette</td>
<td>□ Alpha</td>
<td>□ Reference material</td>
<td>□ Book shelf</td>
</tr>
<tr>
<td>□ Audiovisual</td>
<td>□ Numeric</td>
<td>□ Personal papers</td>
<td>□ Box</td>
</tr>
<tr>
<td>□ Maps/Drawings</td>
<td>by:</td>
<td>□ Convenience copy</td>
<td>□ Desk drawer</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CUTOFF</th>
<th>RESTRICTIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ End of year</td>
<td>□ Vital</td>
</tr>
<tr>
<td>□ Periodically</td>
<td>□ Subject to audit</td>
</tr>
<tr>
<td>□ Other</td>
<td>□ Public disclosure</td>
</tr>
<tr>
<td></td>
<td>□ Confidential</td>
</tr>
<tr>
<td></td>
<td>□ Archival</td>
</tr>
<tr>
<td></td>
<td>□ Required</td>
</tr>
<tr>
<td></td>
<td>□ Prohibited</td>
</tr>
</tbody>
</table>
Electronic System Inventory Form

<table>
<thead>
<tr>
<th>Date</th>
<th>Name</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Office</td>
<td>Division</td>
<td>Branch</td>
</tr>
<tr>
<td>System Name</td>
<td>Acronym and/or #</td>
<td>Program Supported</td>
</tr>
</tbody>
</table>

**Title**

Purpose (Legal Requirement and/or reason system was created)

Purpose

Main Subject Description (Refer to instructions on back... This description must be comprehensive)

**Description**

This system contains the following kinds of documents (Check all that apply):
- System data
- System documentation
- System development
- Operation/Mtnc
- Input source data
“completed jointly by employee and review team [records manager]”

<table>
<thead>
<tr>
<th><strong>System Managers</strong></th>
<th><strong>Name</strong></th>
<th><strong>Office</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>For development documentation</td>
<td>Technical Stewards</td>
<td>Software</td>
</tr>
<tr>
<td>For Systems documentation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>For operation/maintenance material</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Hardware</strong></th>
<th><strong>Software</strong></th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th><strong>Date Range</strong></th>
<th><strong>Record Value</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Start</td>
<td>Fiscal</td>
</tr>
<tr>
<td>End</td>
<td>Legal</td>
</tr>
<tr>
<td>None</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Disposition Authority (if known)</strong></th>
<th><strong>Disposition Recommendation</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved schedule #</td>
<td>User Requirement</td>
</tr>
<tr>
<td>Has purpose/use changed since schedule was approved?</td>
<td>Legal Requirement (if known)</td>
</tr>
<tr>
<td>No</td>
<td>Yes</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Possible schedule number(s)</strong></th>
</tr>
</thead>
</table>

**OTHER RECORDKEEPING REQUIREMENTS**
- Check all that apply

<table>
<thead>
<tr>
<th><strong>Restrictions</strong></th>
<th><strong>Duplication</strong></th>
<th><strong>Major Output</strong></th>
<th><strong>Frequency</strong></th>
<th><strong>Documentation</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>Original</td>
<td>Reports</td>
<td>Daily</td>
<td>On-Line</td>
</tr>
<tr>
<td>Confidential</td>
<td>Copy</td>
<td>Tables</td>
<td>Weekly</td>
<td>Hard copy</td>
</tr>
<tr>
<td>Subject to audit</td>
<td>Copy Locations:</td>
<td>Charts</td>
<td>Monthly</td>
<td></td>
</tr>
<tr>
<td>Archival</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Public Disclosure</td>
<td>In Dept</td>
<td>Publication</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Required</td>
<td>In Agency</td>
<td>Other:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prohibited</td>
<td>Out of Agency</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Update cycles</strong></th>
<th><strong>Superseded information saved:</strong></th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th><strong>Information transferred to other systems:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>No</td>
</tr>
</tbody>
</table>
5. Analyze Results

- Records as an asset
- Value
- How valuable?
The “Big Question”

Does your agency perceive records as a cost center or as a valuable asset?
Fiscal Value

◊ Obligations
  ■ Accounts receivable
  ■ Accounts payable

◊ Accountability
  ■ Fiscal responsibility

◊ Bottom line
  ■ Proof to taxpayers / stakeholders
Legal Value

Are we going to be in trouble if we should have it... and don’t?

COMPLIANCE

Are we going to be in trouble if we still have it... and shouldn’t?

DISCOVERY
Historical (Reference) Value

- Will it be going to State Archives?
- Are we doing the right thing?
Operational Value

- Required
- Makes it easier
How valuable are the records?

[VITAL]
- Can’t do business without it
- Can’t be recreated

[IMPORTANT]
- Can’t do business without it
- Can be recreated (although expensive)

[USEFUL]

[NONSESENTIAL]
6. Research Retention

Think like an attorney

There is no “cookbook”

Ask the SMEs

Use your brain
Think Like an Attorney

- Regulation
- Discovery
- Litigation
- Proof
- Statutes of Limitations
There is No “Cookbook”

- Declaration
- Retention “clock”
- Duration of value
  - Legal
  - Fiscal
  - Operational
  - Historical
- 3-year rule
Recordkeeping Requirements gives the answers, saves time, and frees up valuable space by identifying in clear, simple language, what the laws say and how to comply.

- Provides quick answers: What are your legal responsibilities? What laws affect your records, and how do you apply them?
- Provides detailed analysis: How to analyze and apply the six types of records retention laws that affect your records.
- Avoids confusing legal jargon: Written for those with little or no legal or recordkeeping experience (yet is sufficiently detailed for those who need in-depth, accurate information).
- Provides exact language of the most needed laws: Includes state and federal laws for tax, employment, contracts, etc.

Pricing

- Initial purchase: $45.00 (plus shipping and handling)
Ask the SMEs*

- Familiarity
- Known risks
- Location
- Processes
- Workflow

* Subject matter experts
Use Your Professional Judgment

- Face validity
- Enterprise-wide perspective
- Clear to someone unfamiliar with job
- Related records
- General schedules
The Administrative Functions Disposal Authority (2000), also known as AFDA, authorises the disposal of records of administrative functions commonly performed by most Australian Government agencies. It is based on the Keywort AAA business classification scheme which has been modified for Commonwealth use.

This authority replaces a number of General Disposal Authorities (GDAs) and schedules, as well as all entries in agency Records Disposal Authorities (RDAs) that cover records of an administrative nature.
7. Negotiate Time Periods

- Permanent
- Indefinite
- 20 years
- 7 years
- 12 months
- “At least…”
- “No longer than…”
Retrieve a Specific Statute

Please enter the Statute cite in the box below

Section 138.17 (e.g. 15a.081)

Get Section Clear Selection

Please direct all comments concerning issues or legislation to your House Member or State Senator.

For Legislative Staff or for directions to the Capitol, visit the Contact Us page.

General questions or comments.

last updated 07/15/2005
State Laws: Quick Reference Guide

Below you will find links to laws for all 50 states and the District of Columbia, organized by legal topic in alphabetical order. A separate page contains federal laws.
Management of e-Records

The majority of daily communications, record-keeping, and government transactions are done electronically.

Deal with it.
It’s all about content, not the storage or delivery media.

We must do something to protect and preserve records on digital media.
Migration / Conversion / Emulation
What about the hard drives?

Issue:
Access by employees who have a need to know.

Keep official records on the shared servers.
Once created, eRecords live forever.
Memory is cheap. Why not keep it all forever?

- Have to index them
- Too many to search efficiently
- **All information is not created equal**
- Have to track where everything is
- System redundancy for vital records
- **The records can be discovered**
GET THE JUMP on E-Discovery!

Leaps 12 times its body length to be there when you need e-Forensics or Discovery services.

Agility to respond to any discovery situation.

Nocturnal habits keep us working while others sleep.

Piercing vision to see solutions others don’t see.

Impenetrable shell to secure your data.

Astute listening to understand your needs.

Click here for information about the recently released Cricket Box, the best in-house e-discovery solution!
Scheduling records is a decision-making process that is best done when not under the pressure of a subpoena, disaster, or other crisis.
8. Write the Schedule

Do I have to?
Assumptions:

- A new records series is discovered
- The old schedule is out of date
- Management of the records in electronic format is not described
- Overuse of “permanent” or “indefinite” retention periods
- Not understood by employees
8. Write the Schedule

The following words are banned from Records Retention Schedule titles:

- records
- files
- forms
- miscellaneous
- general
- etc.
- old
- dead
- archives

old Blue files from Bob's desk
Schedule Writing Tips

- Tie disposal to a recurring event
- Use general schedules
- “Permanent” has to be defined
- Plan for technological change
- Identify records series requiring unusual management procedures
Abbreviations
Acronyms
Use the **Description** field to:

- Clearly define who owns the record
- Clarify roles and responsibilities of the records’ stewards
- Show how the record is used
- Point out where it fits in the agency’s business plan
- Describe special handling required
Use **Retention Requirements** to:

- Define the record’s movement through the life cycle process
- Define the point when it becomes the “copy of record”
- List storage locations and conditions
- Map out backup procedures
- Disposal instructions
Put enough detail in the description of the records series so that anyone can follow the procedures and requirements.
Scheduling Issues:

- Owner v Steward (Custodian)
- Standards are critical
- Users can be very creative
- Everybody’s records are vital
What’s on the Schedule Form?

- Owner / steward
- Series identifier
- Title
- Description
- Retention requirements
  - Trigger event
  - Location
  - Migration plan
- Media
- Backup plan
  - Vital
  - Important
  - Useful
  - Nonessential
- Data Practices classification
## STATE GOVERNMENT AGENCIES
### GENERAL RECORDS RETENTION SCHEDULE

<table>
<thead>
<tr>
<th>Record Series Title and Function/Description</th>
<th>Cut-off</th>
<th>Retention Period Of Official Copy</th>
<th>Disposition Authority Number</th>
<th>Special And/Or Disposition Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ESSENTIAL RECORDS LISTS</strong></td>
<td>When Superseded</td>
<td>1 Year</td>
<td>GS 11009</td>
<td>Essential</td>
</tr>
<tr>
<td>Listings of public documents designated by individual state agencies to be essential for the reestablishment of normal operations during and after an emergency. (Series Revised 2005.)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>GENERAL RECORDS RETENTION SCHEDULES</strong></td>
<td>Destroy When Superseded</td>
<td></td>
<td>GS 11004</td>
<td></td>
</tr>
<tr>
<td>General records retention schedules prepared by the Division of Archives and Records Management to provide for the legal disposition of state records common to more than one state agency. Provides description of the records, including records series title, function, retention period, final disposition, and archival status. (Series Revised 2005.)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><em>Note: The Division of Archives and Records Management maintains the primary and archival copy of the General Records Retention Schedules.</em></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>MICROFILM/IMAGING DOCUMENTATION FILE</strong></td>
<td>End of Calendar Year</td>
<td>1 Year</td>
<td>GS 11011</td>
<td>Archival Transfer to State Archives for permanent retention.</td>
</tr>
<tr>
<td>Documentation may include authority to conduct microfilming or imaging, the identity of persons who supervised the imaging process, camera operator’s certificate, imaging targets, tests and inspection results, the arrangement of the originals to be microfilmed, any weeding policy that determines what originals will or will not be imaged, and related documents. (Series Approved 2005.)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><em>Note: This series applies to all agencies regardless of vendor used.</em></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## STATE GOVERNMENT AGENCIES
### GENERAL RECORDS RETENTION SCHEDULE

<table>
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*Note: The Division of Archives and Records Management maintains the primary and archival copy of the General Records Retention Schedules.*

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5. **Budget Estimates and Justifications Files.**

Copies of budget estimates and justifications prepared or consolidated in the Deputy Director’s Office. Included are appropriation language sheets, narrative statements, and related schedules and data. Also included are supplemental appropriation requests and justifications.

TEMPORARY.  
Cut-off every fiscal year.  
Destroy on site when 4 years old.
9. Gain Approval

Get support from the boss
9. Gain Approval

Get approval (and buy-in) from your Records Management Team:

- Attorney General / legal services
- Legislative/State Auditor / internal audit
- State Archives / records management
- Business unit (subject matter expert)
9. Gain Approval

Information technology services

They are the technical stewards of our records.
10. Provide Training

- Intranet
- In-service training
- Newsletter
- Information sheet
- Group/staff meeting

Excellent service
11. Audit Compliance

Is there an approved records retention schedule covering all of the records?

Are all employees following the approved schedule?

Is destruction / deletion of records documented?
12. Revise Schedule

Retention schedules are living documents. Revise them as needed to enable compliance.

(This is an example of poor electronic records management)
What is the result of all this records inventorying, analyzing, and scheduling?
A happy boss.

Thanks, Records Guy!
The boss stays out of headlines.

POLICY

Compliance
Useless records are gone.

PROCEDURE

Disposal
Work gets done faster.

Production Efficiency
We’re organized.

PROCESS

Workflow
So...what’s the plan?
The Work Plan

Phase 1 – Identify

- Action: Each employee identifies the documents that prove they are doing their job.

- Decisions:
  - Official records v convenience copies
  - Ownership v stewardship
  - Sorting into groups (records series)
The Work Plan

Phase 2 – Inventory

- Action: Describe the life cycle of the documents identified as records in Step 1.

- Decisions:
  - Length of time that records have value
  - Continuity of operations planning
  - Data Practices (privacy) classification
The Work Plan

Phase 3 – Schedule

- **Action**: Document how the records described in Step 2 are to be managed for their entire life cycle.

- **Decisions**:
  - Data capture method
  - Storage media selection
  - Backup strategy
  - Migration/conversion scheduling
  - Disposal requirements and procedures
Need more info?

Jim Mack
651-201-5005
jim.mack@state.mn.us

www.mnhs.org/preserve/records

www.archives.gov/records-mgmt

http://infomgmt.homestead.com